

IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Kevin Collins et al

Confirmation No.:

Application No.:

Examiner:

Filing Date:

Group Art Unit:

Title: Storage Device Performance Monitor

COMMISSIONER FOR PATENTS
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:
☐ Statement under 37 CFR 1.97(e), or
☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs
- ☐ under 37 CFR 1.97 (d) together with a:
☐ Statement under 37 CFR 1.97(e), and
☐ a petition under 37 CFR 1.97(d)(2), and
☐ a \$180.00 petition fee set forth in 37 CFR 1.17(p).
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

"Express Mail" label no. EL 795260515 US

Date of Deposit 9-27-01

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Washington, D.C. 20231.

By Donna Kraft

Typed Name: Donna Kraft

Respectfully submitted,

Kevin Collins et al

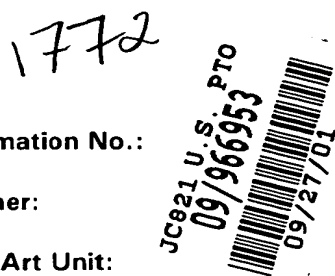
By T. Grant Ritz

T. Grant Ritz

Attorney/Agent for Applicant(s)

Reg. No. 39,819

Date: 9-27-01



FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

10006728-1

APPLICATION NO.

00/000,000

CONFIRMATION NO.

APPLICANT

Kevin C Ilins

FILING DATE

Unknown

GROUP

Unk

JCS21 U.S. PTO
09/966953
09/27/01

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
	1A	5,506,955	04-09-96	Chen, et al.	395	183.02
	1B	5,566,317	10-15-96	Treiber, et al.	395	444
	1C	5,684,945	11-04-97	Chen, et al.	395	182.18
	1D					
	1E					
	1F					
	1G					
	1H					
	1I					
	1J					
	1K					

RECEIVED
NOV 20 2001
Technology Center 2100

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	1L							
	1M							
	1N							
	1O							
	1P							

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

1Q	"Making Sure Disk Performance Statistics are Collected", Microsoft Corporation, 2000, 2 pages.
1R	"Monitoring Hard Disk Performance" i386, Dublin, Ireland, 2001, 2 pages.
1S	"Using th Performance Monitor", Microsoft Corporation, 2000, 2 pages.

EXAMINER

DATE CONSIDERED

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

10006728-1

APPLICATION NO.

00/000,000

CONFIRMATION NO.

APPLICANT

Kevin C Ilins

FILING DATE

Unknown

GROUP

Unk

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
	2A					
	2B					
	2C					
	2D					
	2E					
	2F					
	2G					
	2H					
	2I					
	2J					
	2K					

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	2L							
	2M							
	2N							
	2O							
	2P							

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	2Q	"Pre-Failure Alerting", Dell Computer Corporation, published to the Internet at least as early as April 9, 2001, 1 page.
	2R	"Efficient, Real-Time Management of Storage Resources", U.S. Patent Application of Duggan, et al., Serial No. 09/589,144 filed June 7, 2000.
	2S	"Hard Disk Drives", IBM Corporation, published to the Internet at least as early as September 17, 2001, 5 pages.

EXAMINER

DATE CONSIDERED

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

10006728-1

APPLICATION NO.

00/000,000

CONFIRMATION NO.

APPLICANT

Kevin Collins

FILING DATE

Unkn wn

GROUP

Unk

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
	3A					
	3B					
	3C					
	3D					
	3E					
	3F					
	3G					
	3H					
	3I					
	3J					
	3K					

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	3L							
	3M							
	3N							
	3O							
	3P							

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

3Q	"S.M.A.R.T., Advanced Drive Diagnostics", Quantum Corporation, 1998, 13 pages. NOTE: This article was printed from a local cache directory and therefore, some figures are unavailable.
3R	"Information Brief: Self-Monitoring, Analysis and Reporting Technology", IBM Group, 1998, 4 pages.
3S	"Playing it Smart", Eric Ottem, Judy Plummer, Seagate Technology White Papers, June, 1995, 4 pages.

EXAMINER

DATE CONSIDERED

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

10006728-1

APPLICATION NO.

00/000,000

CONFIRMATION NO.

APPLICANT

K vin Collins

FILING DATE

Unkn wn

GROUP

Unk

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
	4A					
	4B					
	4C					
	4D					
	4E					
	4F					
	4G					
	4H					
	4I					
	4J					
	4K					

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	4L							
	4M							
	4N							
	4O							
	4P							

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	4Q	"Data Lifeguard Online Diagnostics S.M.A.R.T. Test", Western Digital Corporation, published to the Internet at least as early as September 28, 2000, 2 pages.
	4R	
	4S	

EXAMINER

DATE CONSIDERED